

STANDARDS AND PROCEDURES			
ARIZONA DEPARTMENT OF ADMINISTRATION INFORMATION SERVICES DIVISION			
Section:	6	Title:	ISD SECURITY
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## 1. STANDARD

Each ADOA Division will develop and maintain a Business Continuity Plan in accordance with the methodology defined in the Department of Administration Business Continuity Planning process published and maintained by ISD Security Services.

### 1.1. Summary of Standard Changes

### 1.2. Purpose

The ADOA Business Continuity Planning process is designed to quantify the risks associated with the loss of resources supporting mission-critical processes and to develop strategies to mitigate those risks.

### 1.3. Scope

The Business Continuity Planning process is intended for use by all ADOA business units.

### 1.4. Responsibilities

#### 1.4.1. ISD Security Services

- Develop, document, publish and maintain the procedures and tools associated with the Agency Business Continuity Planning methodology.
- Provide business continuity training and education.
- Assist divisions in the development and implementation of their business continuity plans.
- Provide coordination among divisions, business units and outside consulting services.
- Develop and maintain the agency business continuity plan based on the aggregate business unit plans.

#### 1.4.2. Assistant Directors

- Provide guidance to the business continuity program development and efficiently adjudicate all issues emanating from the Business Continuity Steering Committee.
- Provide adequate resources to develop viable business continuity plans.

#### 1.4.3. Business Unit Managers

- Identify and describe the critical business functions.
- Identify and describe the risks associated with the inability to provide services.

#### 1.4.4. Business Unit Emergency Response Team (ERT)

- Maintain the business unit emergency procedures
- Immediately implement emergency procedures in response to an emergency

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#### 1.4.5. Business Continuity Task Team

- Identify and describe the high-level resources required for each business function.
- Identify and describe the implications associated with the loss of access, utility, and/or facility of each required resource.
- Document strategies to restore service delivery.
- Select the appropriate strategies.
- Implement the selected strategies.

#### 1.4.6. Business Continuity Steering Committee

- Provide oversight and direction to the Business Continuity Task Team for the development of the agency, board or commission Business Continuity Program.

#### 1.4.7. Public Relations Team

- Respond to the press and managing the public's expectations in the event of a disruption.

### 1.5. Definitions and Abbreviations

<b>Agency Sensitivity to Disruption</b>	The point at which an agency requires that its operations be returned to serve their "customers" or the public.
<b>Business Continuity</b>	The ability to continue essential business processes at an acceptable level despite a support function outage.
<b>Business Continuity Planning</b>	Providing for the timely availability of all of the resources necessary to operate critical business processes at a level acceptable to the public.
<b>Business Function/Area/Unit</b>	A definitive function within the business process; may equate to departmental structure. Does not imply complete independence from other functions within a process.
<b>Business Impact Assessment</b>	To determine the operational (qualitative) and financial (quantitative) impact of an inoperable or inaccessible service area on an agency's ability to conduct its critical business processes; provides the basis for formulating the agency's business recovery strategies and a business continuity program.
<b>Business Process</b>	A set of recurring activities - a flow of information and materials that produce something of value for a customer or the public.
<b>Contingency Plan</b>	A written plan used to respond to the disruption of an agency's operations. This plan may focus on response to specific disruption scenarios.
<b>Critical Business Processes</b>	Business processes on which the viability of an agency rests; without these processes, an agency could not do business.
<b>Director</b>	The chief executive officer for a State agency, board or commission.
<b>Disaster</b>	An event which leads to disruption of critical business processes; implies unrecoverability, irreparable damage, or a disruption which lasts for an unacceptable period of time.
<b>Disruption</b>	An unplanned interruption of critical business processes.
<b>Emergency Response Procedures</b>	The procedures used by the agency to immediately respond to an emergency disruption.

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**Emergency Response Team (ERT)** A group of personnel with the responsibility to immediately respond to a emergency.

**Estimated Recovery Time (ERT)** The amount of time from the point of the disruption to the recovery of key resources/services.

**Executive Sponsor** The designated individual who provides guidance to the agency business continuity program development and adjudicates all issues emanating from the Executive Steering Committee. This individual is typically the Agency Director.

**Executive Steering Committee** The agency, board or commission's chosen group of personnel, in upper management capacity, who provide oversight and direction to the Business Continuity Task Team for the development of the agency, board or commission Business Continuity Program.

**Facilities Management Team (FMT)** The agency, board or commission's personnel responsible for maintenance of the facilities. In the recovery efforts this team may be expanded to include personnel with a detailed knowledge of work area recovery issues that should be incorporated into relocation considerations.

**Impact Tolerance** Another way of describing the MAO and RTO. This assessment discusses interruption in terms of how long the agency, board or commission can tolerate an interruption in critical business processes due to an unplanned interruption.

**Informal Contingencies** Informal but potentially viable fallback procedures existing within business areas/units to address operational mishaps and localized equipment malfunctions.

**Inventories** A list of all resources and components of those resources necessary both at a degraded level and to recover the agency, board or commission 100%. e.g. furniture, equipment, computer hardware and software.

**Liability** A likely negative effect resulting from the loss of utility, access and/or facility.

**Maximum Acceptable Outage (MAO)** The maximum period of time that a given resource or function can be unavailable before the agency will sustain unacceptable consequences (financial losses, client/public services, etc.).

**Maximum Probable Loss (MPL)** Calculation of estimated financial loss, which may be incurred by an agency, board or commission in the event of an outage. MPL takes into consideration revenue/cost, losses incurred associated with property and equipment, the application of business interruption and proper insurance, costs incurred by the private sector and mitigating expenses.

**Mitigating Expenses** Cost of contingency plans or arrangements in place that would potentially offset the extent of losses or exposure over a period of time.

**Notification List** A list of personnel, staff members, media, private sector groups and organizations, vendors, insurance and other key persons to inform in the event of a disruption. It is often designed so that the most critical individuals are contacted first, to assist with recovery efforts.

**Operational Impact** The qualitative effect on an agency, board or commission's ability to conduct business as a result of a disruption.

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<b>Outage Timeframes</b>	The duration of time over which a disruption occurs, affecting both the impact of the disruption and the alternatives used for recovery.
<b>Plan Administrator</b>	Individual or group within the agency, board or commission with specific responsibility for the maintenance and testing of the Business Continuity Program. The "owner" of the plan.
<b>Plan/Program Exercise</b>	An integral part of a Business Continuity Program is development and exercises to familiarize personnel with recovery procedures and identify opportunities to improve the plan.
<b>Public Relations Team</b>	The agency, board or commission's personnel or representative responsible for responding to the press and managing the public expectations in the event of a disruption.
<b>Recovery</b>	Returning an agency, board or commission's operations to an acceptable level.
<b>Recovery Alternatives</b>	The options from which an agency, board or commission may select to respond to a disruption. Alternatives may include alternate facilities, outsourcing to vendors, elimination of business functions, manual procedures, etc.
<b>Recovery Point Objective (RPO)</b>	The point in time to which data must be restored in order to resume processing transactions.
<b>Recovery Strategy</b>	The set of selected recovery alternatives, which define the manner in which an agency, board or commission intends to respond to and recover from a disruption.
<b>Recovery Time Objective (RTO)</b>	The target time frame for restoration of critical business processes and service areas.
<b>Resource Requirements</b>	Major resource(s) supporting an organization's business processes: equipment, information systems, data communications, voice communications, office facilities, staff, etc.
<b>Restoration</b>	Returning an agency, board or commission to 100% of operational capacity, as it existed prior to the disruption.
<b>Risk</b>	The potential for exposure to loss.
<b>Service Expectations</b>	The service level required to meet the expectations of the public, e.g., quality, timely deliveries, customer service etc.
<b>Single Point of Failure</b>	A critical function, support service, or other key resource which cannot be effectively redirected or recovered elsewhere in an agency, board or commission.
<b>Threat</b>	External in nature; agency, board or commission would have minimal control in preventing occurrence, however, protective measures may be implemented to minimize impact of an occurrence.
<b>Triggers</b>	Change management processes and procedures, which cause updates and changes to be made to the Business Continuity Program.
<b>Vulnerability</b>	Weakness in the design or application of control within a process, function, or facility which may promote or contribute to a disruption.

#### 1.6. Description of Standard

The business continuity planning process will be developed, published and maintained by ISD Security Services. ISD Security Services will provide business continuity training and education to all business units within ADOA. ISD Security will also provide consulting services to all ADOA business units for development and implementation of their business continuity plans.

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#### 1.7. Implications

#### 1.8. References

The following documents are available on request through ISD Security Services.

*Business Continuity Planning Guidelines* [GITA - 1998]

*Tools for Business Continuity Planning* [ISD Security Services - 1998]

#### 1.9. Attachments